



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Lawrence Wasicek

Examiner: Unknown

Serial No.: 10/616,785

Group Art Unit: Unknown

Filed: July 10, 2003

For: EMBOLIC PROTECTION FILTERING DEVICE

Docket No.: 1001.1693101

**TRANSMITTAL SHEET**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE UNDER 37 C.F.R. 1.08:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 14<sup>th</sup> day of October, 2003.

By

J. Scot Wickhem

We are transmitting herewith the attached:

- ☒ [X] Information Disclosure Statement.
- ☒ [X] Form 1449 with three-hundred fifty four (354) references.
- ☒ [X] Copies of one-hundred thirty two (132) non-U.S. Patents
- ☒ [X] Postcard receipt
- ☒ [X] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:

J. Scot Wickhem, Reg. No. 41,376

Customer No. 38075

CROMPTON, SEAGER & TUFTE, LLC

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Telephone: (612) 677-9050

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P A T E N T

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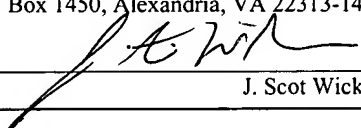
Docket No.: 1001.1693101

**INFORMATION DISCLOSURE STATEMENT (37 C.F.R. §1.97(b))**

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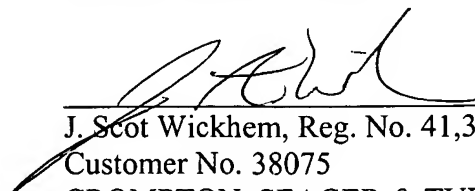
Dear Sirs:

Pursuant to the obligations of candor and good faith imposed by 37 §C.F.R 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Dated: October 14, 2003

  
J. Scot Wickhem, Reg. No. 41,376

Customer No. 38075

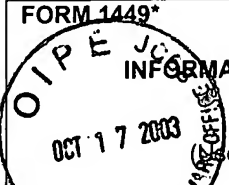
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<b>FORM 1449*</b>  INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION (Use several sheets if necessary)	Docket Number:	Application Number:
	1001.1693101	Unknown
	Applicant: Lawrence Wasicek	
Filing Date: July 10, 2003	Group Art Unit: Unknown	

### U.S. Patent Documents

Examiner Initial	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
	6,575,996	06/10/03	Denison et al.		
	6,569,183	05/27/03	Kim et al.		
	6,558,405	05/06/03	McInnes		
	6,551,342	04/22/03	Shen et al.		
	6,540,722	04/01/03	Boyle et al.		
	6,511,497	01/28/03	Braun et al.		
	6,511,496	01/28/03	Huter et al.		
	6,508,803	01/21/03	Horikawa et al.		
	6,506,205	01/14/03	Goldberg et al.		
	6,485,502	11/26/02	Don Michael et al.		
	6,482,222	11/19/02	Bruckheimer et al.		
	6,443,972	09/03/02	Bosma et al.		
	6,432,122	08/13/02	Gilson et al.		
	6,428,559	08/06/02	Johnson		
	6,352,515	03/15/02	Anderson et al.		
	6,346,116	02/12/02	Brooks et al.		
	6,344,049	02/05/02	Levinson et al.		
	6,319,510	11/20/01	Yates		
	6,319,268	11/20/01	Ambrisco et al.		
	6,309,399	10/30/01	Barbut et al.		
	6,306,105	10/23/01	Rooney et al.		
	6,290,710	09/18/01	Cryer et al.		
	6,287,321	09/11/01	Jang		
	6,280,413	08/28/01	Clark et al.		
	6,277,139	08/21/01	Levinson et al.		
	6,277,138	08/21/01	Levinson et al.		
	6,270,513	08/07/00	Tsugita et al.		

EXAMINER:	DATE CONSIDERED:
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(Use several sheets if necessary)

	6,264,672	07/24/01	Fisher		
	6,264,663	07/24/01	Cano		
	6,258,115	07/10/01	Dubrul		
	6,248,082	06/19/01	Jafari		
	6,245,089	06/12/01	Daniel et al.		
	6,245,088	06/12/01	Lowery		
	6,245,087	06/12/01	Addis		
	6,238,412	05/29/01	Dubrul et al.		
	6,235,045	05/22/01	Barbut et al.		
	6,235,044	05/22/01	Root et al.		
	6,234,981	05/22/01	Howland		
	6,231,544	05/15/01	Tsugita et al.		
	6,224,620	05/01/01	Maahs		
	6,221,006	04/24/01	Dubrul et al.		
	6,214,026	04/10/01	Lepak et al.		
	6,206,868	03/24/01	Parodi		
	6,203,561	03/20/01	Ramee et al.		
	6,183,420	02/06/01	Douk et al.		
	6,179,861	01/30/01	Khosravi et al.		
	6,179,859	01/30/01	Bates et al.		
	6,179,851	01/30/01	Barbut et al.		
	6,179,788	01/30/01	Sullivan		
	6,171,328	01/09/01	Addis		
	6,171,327	01/09/01	Daniel et al.		
	6,168,579	01/02/01	Tsugita		
	6,168,571	01/02/01	Solar et al.		
	6,165,292	12/26/00	Abrams et al.		
	6,165,200	12/26/00	Tsugita et al.		
	6,152,946	11/2800	Broome et al.		
	6,142,987	11/07/00	Tsugita		

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	6,139,510	10/31/00	Palermo		
	6,136,016	10/24/00	Barbut et al.		
	6,129,739	10/10/00	Khosravi		
	6,117,154	09/12/00	Barbut et al.		
	6,106,488	08/22/00	Fleming et al.		
	6,086,605	07/11/00	Barbut et al.		
	6,068,645	05/30/00	Tu		
	6,066,158	05/23/00	Engelson et al.		
	6,066,149	05/23/00	Samson et al.		
	6,059,814	05/09/00	Ladd		
	6,053,932	04/25/00	Daniel et al.		
	6,051,015	04/18/00	Maahs		
	6,051,014	04/18/00	Jang		
	6,042,598	03/28/00	Tsugita et al.		
	6,042,553	03/28/00	Solar et al.		
	6,039,699	03/21/00	Viera		
	6,027,520	02/22/00	Tsugita et al.		
	6,013,085	01/11/00	Howard		
	6,010,522	01/04/00	Barbut et al.		
	6,007,557	12/28/99	Ambrisco et al.		
	6,001,118	12/14/99	Daniel et al.		
	6,001,068	12/14/99	Uchino et al.		
	5,997,557	12/07/99	Barbut et al.		
	5,993,469	11/30/99	McKenzie et al.		
	5,989,281	11/23/99	Barbut et al.		
	5,984,878	11/16/99	Engelson		
	5,980,555	11/09/99	Barbut et al.		
	5,980,471	11/09/99	Jafari		
	5,954,745	09/21/99	Gertler et al.		
	5,947,995	09/07/99	Samuels		

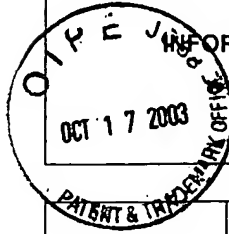
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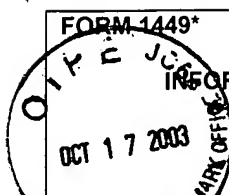


	5,941,896	08/24/99	Kerr		
	5,941,869	08/24/99	Patterson et al.		
	5,935,139	08/10/99	Bates		
	5,925,062	07/20/99	Purdy		
	5,925,060	07/20/99	Forber		
	5,925,016	07/20/99	Chornenky et al.		
	5,911,734	06/15/99	Tsugita et al.		
	5,910,154	06/08/99	Tsugita et al.		
	5,895,399	04/20/99	Barbut et al.		
	5,876,367	03/02/99	Kaganov et al.		
	5,848,964	12/15/98	Samuels		
	5,846,260	12/08/98	Maahs		
	5,836,968	11/17/98	Simon et al.		
	5,836,893	11/17/98	Urlick		
	5,836,892	11/17/98	Lorenzo		
	5,833,650	11/10/98	Imran		
	5,833,644	11/10/98	Zadno-Azizi et al.		
	5,833,631	11/10/98	Nguyen		
	5,827,324	10/27/98	Cassell et al.		
	5,820,571	10/13/98	Erades et al.		
	5,814,064	09/29/98	Daniel et al.		
	5,810,874	09/22/98	Lefebvre		
	5,800,525	09/01/98	Bachinski et al.		
	5,800,457	09/01/98	Gelbfish		
	5,797,857	08/25/98	Obitsu		
	5,795,322	08/18/98	Bouewijn		
	5,792,157	08/11/98	Mische et al.		
	5,782,776	07/21/98	Hani		
	5,779,716	07/14/98	Cano et al.		
	5,776,100	07/07/98	Forman		

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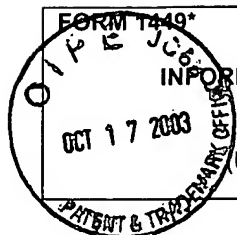
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	5,772,641	06/30/98	Wilson		
	5,772,609	06/30/98	Nguyen et al.		
	5,769,816	06/23/98	Barbut et al.		
	5,769,796	06/23/98	Palermo et al.		
	5,749,848	05/12/98	Jang et al.		
	5,728,066	03/17/98	Daneshvar		
	5,720,764	02/24/98	Naderlinger		
	5,709,704	01/20/98	Nott et al.		
	5,695,519	12/09/97	Summers et al.		
	5,695,111	12/09/97	Nanis et al.		
	5,662,671	09/02/97	Barbut et al.		
	5,658,296	08/19/97	Bates et al.		
	5,651,373	07/29/97	Mah		
	5,637,089	06/10/97	Abrams et al.		
	5,606,981	03/04/97	Tartacower et al.		
	5,549,626	08/27/96	Miller et al.		
	5,536,242	07/16/96	Willard et al.		
	5,479,938	01/02/96	Weier		
	5,465,732	11/14/95	Abele		
	5,462,529	10/31/95	Simpson et al.		
	5,456,667	10/10/95	Ham et al.		
	5,452,726	09/26/95	Burmeister et al.		
	5,449,372	09/12/95	Schmaltz et al.		
	5,443,907	08/22/95	Slaikue et al.		
	5,433,200	07/18/95	Fleischhacker, Jr.		
	5,423,742	06/13/95	Theron		
	5,421,832	06/06/95	Lefebvre		
	5,411,476	05/02/95	Abrams et al.		
	5,406,960	04/18/95	Corso, Jr.		
	5,383,887	01/24/95	Nadal		

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	5,376,100	12/27/94	Lefebvre		
	5,368,048	11/29/94	Stoy et al.		
	5,365,943	11/22/94	Jansen		
	5,354,310	10/11/94	Garnie et al.		
	5,353,808	10/11/94	Viera		
	5,345,945	09/13/94	Hodgson et al.		
	5,341,818	08/30/94	Abrams et al.		
	5,333,620	08/02/94	Moutafis et al.		
	5,330,484	07/19/94	Gunther		
	5,329,942	07/19/94	Gunther et al.		
	5,313,967	05/24/94	Lieber et al.		
	5,312,356	05/17/94	Engelson et al.		
	5,299,580	04/05/94	Atkinson et al.		
	5,275,173	01/04/94	Samson et al.		
	5,273,052	12/28/93	Kraus et al.		
	5,253,653	10/19/93	Daigle et al.		
	5,238,004	08/24/93	Sahatjian et al.		
	5,230,348	07/27/93	Ishibe et al.		
	5,224,953	07/06/93	Morgentaler		
	5,213,111	05/25/93	Cook et al.		
	5,209,730	05/11/93	Sullivan		
	5,160,342	11/03/92	Reger et al.		
	5,152,777	10/06/92	Goldberg et al.		
	5,152,771	10/06/92	Sabbaghian et al.		
	5,144,959	09/08/92	Gambale et al.		
	5,133,733	07/28/92	Rasmussen et al.		
	5,111,829	05/12/92	Alvarez de Toledo		
	5,109,867	05/05/92	Twyford, Jr.		
	5,102,415	04/07/92	Guenther et al.		

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FORM 1449\*

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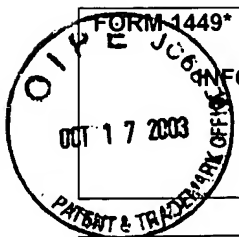
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	5,100,423	03/31/92	Fearnot		
	5,071,407	12/10/91	Termin et al.		
	5,069,226	12/03/91	Yamauchi et al.		
	5,063,935	11/12/91	Gambale		
	5,053,008	10/01/91	Bajaj		
	5,011,488	04/30/91	Ginsburg		
	5,002,560	03/26/91	Machold et al.		
	4,998,539	03/12/91	Delsanti		
	4,984,581	01/15/91	Stice		
	4,969,891	11/13/90	Gewertz		
	4,957,501	09/18/90	Lahille et al.		
	4,926,858	05/22/90	Giffort, III et al.		
	4,925,445	05/15/90	Sakamoto et al.		
	4,921,484	05/01/90	Hillstead		
	4,921,478	05/01/90	Solano et al.		
	4,884,579	12/05/89	Engelson		
	4,873,978	10/17/89	Ginsburg		
	4,846,186	07/11/89	Box et al.		
	B1 4,842,579	10/31/95	Shiber		
	4,813,434	03/21/89	Buchbinder et al.		
	4,807,626	02/28/89	McGirr		
	4,794,928	01/03/89	Kletschka		
	4,790,813	12/13/88	Kensey		
	4,790,812	12/13/88	Hawkins, Jr., et al.		
	4,763,647	08/16/88	Gambale		
	4,723,549	02/09/88	Wholey et al.		
	4,706,671	11/17/87	Weinrib		
	4,688,553	0825/87	Metals		
	4,650,466	03/17/87	Luther		
	4,619,246	10/28/86	Molgaard-Nielsen et al.		

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	4,590,938	05/27/86	Segura et al.		
	4,538,622	09/03/85	Samson et al.		
	4,494,531	01/22/85	Gianturco		
	4,456,017	06/26/84	Miles		
	4,425,908	01/17/84	Simon		
	4,080,706	03/28/78	Heilman et al.		
	4,046,150	09/06/77	Schwartz et al.		
	3,996,938	12/14/76	Clark, III		
	3,952,747	04/27/76	Kimmell, Jr.		
	3,753,700	08/21/73	Harrison et al.		
	3,472,230	10/19/69	Fogarty		
	3,351,463	11/07/67	Rozner et al.		
	3,174,851	03/23/65	Buehler et al.		
	10/086,992	04/10/03	Reynolds, Brian; et al.		
	10/375,766	2/26/03	Reynolds, Brian; et al.		
	09/972,276	10/05/01	Peter Skujins et al.		

**FOREIGN PATENT DOCUMENTS**

	WO 01/89413 /	11/29/01	WIPO		
	WO 01/87183	11/22/01	WIPO		
	WO 01/72205	10/04/01	WIPO		
	WO 01/70326	09/27/01	WIPO		
	WO 01/67989	09/20/01	WIPO		
	EP 1 127 556 A2	08/29/01	EPO		
	WO 01/60442	08/23/01	WIPO		
	WO 01/58382	08/16/01	WIPO		
	WO 01/52768	07/26/01	WIPO		
	WO 01/49355	07/12/01	WIPO		

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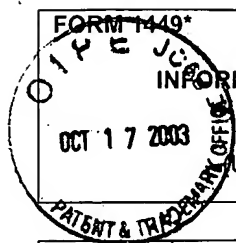
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	WO 01/43662	06/21/01	WIPO		
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	WO 00/16705	03/30/00	WIPO		
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✓	WO 00/07655	02/17/00	WIPO		
✓	WO 00/07521	02/17/00	WIPO		
✓	WO 99/58068	11/18/99	WIPO		
✓	WO 99/55236	11/04/99	WIPO		

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INFORMATION DISCLOSURE STATEMENT  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number:

1001.1693101

Application Number:

Unknown

Applicant: Lawrence Wasicek

Filing Date: July 10, 2003

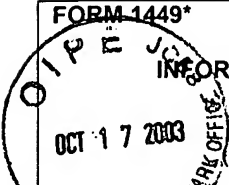
Group Art Unit: Unknown

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	WO 99/40964	08/19/99	WIPO		
	WO 99/30766	06/24/99	WIPO		
	WO 99/25252	05/27/99	WIPO		
	WO 99/23976	05/20/99	WIPO		
	WO 99/22673	05/14/99	WIPO		
	FR 2 768 326 A1	03/19/99	FR		English Abstract
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	WO 98/51237	11/19/98	WIPO		
	WO 98/50103	11/12/98	WIPO		
	WO 98/49952	11/12/98	WIPO		
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	WO 98/33443	08/06/98	WIPO		
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	WO 98/23322	06/04/98	WIPO		
	WO 98/02084	01/22/98	WIPO		
	WO 98/02112	01/22/98	WIPO		English Abstract
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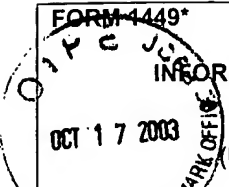
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<b>FORM 1449*</b>  <b>INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number:	Application Number:
	1001.1693101	Unknown
	Applicant: Lawrence Wasicek	
	Filing Date: July 10, 2003	Group Art Unit: Unknown

	EP 0 784 988 A1	07/23/97	EPO		
	WO 97/17100	05/15/97	WIPO		
	EP 0 771 549 A2	05/07/97	EPO		English Abstract
	EP 0 759 287 A1	02/26/97	EPO		English Abstract
	EP 0 743 046 A1	11/20/96	EPO		
	WO 96/33677	10/31/96	WIPO		
	EP 0 737 450 A1	10/16/96	EPO		
	WO 96/23441	08/08/96	WIPO		
	JP 8-187294 A	07/23/96	JP		English Abstract
	WO 96/19941	07/04/96	WIPO		
	WO 96/10375	04/11/96	WIPO		
	WO 96/01591	01/25/96	WIPO		
	EP 0 696 447 A2	02/14/96	EP		
	EP 0 686 379 A2	06/02/95	EP		
	EP 0 655 228 A1	11/22/94	EPO		English Abstract
	WO 94/24946	11/10/94	WIPO		
	WO 94/14389	07/07/94	WIPO		English Abstract
	EP 0 533 511 A1	03/24/93	EP		
	FR 2 694 687	08/12/92	FR		English Abstract
	FR 2 666 980	03/27/92	FR		English Abstract
	WO 92/03097	03/05/92	WIPO		
	EP 0 472 368 A2	02/26/92	EP		
	EP 0 472 334 A1	02/26/92	EP		
	EP 0 437 121 B1	07/17/91	EP		
	EP 0 427 429 A2	05/15/91	EPO		
	EP 0 411 118 A1	02/06/91	EP		
	DE 40 30 998 A1	10/1990	Germany		
	FR 2 643 250 A1	08/24/90	FR		English Abstract
	WO 88/09683	12/15/88	WIPO		
	EP 0 293 605 A1	12/07/88	EP		

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	FR 2 580 504	10/24/86	FR		English Abstract
	EP 0 200 688	11/05/86	EP		
	DE 34 17 738	11/14/85	DE		Translation
	SU 764684	09/25/80	U.S.S.R.		Translation
	UK 2 020 557 B	01/19/83	UK		
	DE 28 21 048	07/17/80	DE		
	0 274 412	07/13/88	EPO		
	0 491 349	06/24/92	EPO		
	0 806 220	11/12/97	EPO		
	0 838 230	04/29/98	EPO		
	WO 00/402860	07/13/00	WO		

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	<b>"Atherosclerotic Disease of the Aortic Arch as a Risk Factor of Recurrent Ischemic Stroke,"</b> <b>The New England Journal of Medicine, pp. 1216-1221 (May 1996)</b>
	<b>"Endovascular Grafts, Stents Drive Interventional Radiology Growth," <u>Cardiovascular</u></b> <b>Device Update, 2(3):1-12 (March 1996)</b>
	<b>"Protruding Atheromas in the Thoracic Aortic and Systemic Embolization," pp. 423-427</b> <b>American College of Physicians (1991)</b>
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	<b>Cragg, Andrew et al., "A New Percutaneous Vena Cava Filter," <u>AJR</u>, 141:601-604</b> <b>(September 1983)</b>
	<b>Cragg, Andrew et al., "Nonsurgical Placement of Arterial Endoprosthesis: A New Technique</b> <b>Using Nitinol Wire," <u>AJR</u>, pp. 261-263 (April 1983)</b>
	<b>Diethrich et al., "Percutaneous Techniques for Endoluminal Carotid Interventions," <u>J.</u></b> <b>Endovasc. Surg., 3:182-202 (1996)</b>
	<b>Fadali, A. Moneim, "A filtering device for the prevention of particulate embolization during</b> <b>the course of cardiac surgery," <u>Surgery</u>, 64(3):634-639 (September 1968)</b>

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- Haissaguerre et al., "Spontaneous Initiation of Atrial Fibrillation by Ectopic Beats Originating in the Pulmonary Veins," The New England Journal of Medicine, 339(10):659-666 (September 1988)
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